	AGENCY INFORMATION							1.	PERIC	D CC	VERED	ED INTERAGENCY REPORT		
	SECU	RITY PRO	OGRAM D	ATA	١			Oct 9	/.	]	Sep 9	15		0230-GSA-AN
2. DEPARTMENT,	NDEP	NDENT AG	ENCY OR ES	TABLI	SHMEN	т	3. CO		FOR AC	DITIO	NAL INF	ORMAT		Vame, office and
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AND		EVIOUS ERIOD	RECEIVED GRANTED IN F			. 022	(d)				(e)		PERIOD	
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E. IMPROPER DESTRUCTION		F. UNAUTH	ORIZED		PROPER ORAGE			PROPER		1.	IMPROPE TRANSM	R ISSION	la la	OTHER (Elaborate under Item 12)
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Item 11J - Unable to locate documents during inventories.

SECURITY PROGRAM DATA  Oct 1, 1995 Sep 30, 1996 0230-GSA-AN  I. DEPARTMENT, INDEPENDENT AGENCY ON ESTABLISHMENT  I. S. DEPARTMENT, INDEPENDENT AGENCY IS RESPONSIBLE FOR FINAL DECISION  O. O		AGENCY IN		1. PERIOD COVERED							TERAGENCY REPORT		
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Les A. Privett   Deputy Director, Office of Security and Administrative Management   Telephone (202) 366-4677   Assistant Secretary for Administration   Telephone (202) 366-4677   T	2. DEPARTMENT.				13. CC	NTACT	FORA	Sep	IAL INF	1996	ION /	Vame office and	
Deputy Director, Office of Security and Administration					151	epnone;	10.)			O KIMA	1014 (2	trame, office and	
Administrative Management Telephone (202) 366-4677  Administrative Management Telephone (202) 366-4677  Administrative Management Telephone (202) 366-4677  A TOP SECRET	II.S. Departs	ment of Tran	sportation								· •		
Melissa J. Spillenkothen Assistant Secretary for Administration  S. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES  S. SECRET  O  9  0  6. ADDITIONAL DECLASSIFICATION AUTHORITIES  A. TOP SECRET  O  O  O  O  ORIGINAL  T. CLASSIFICATION  DECLASSIFIT IN  10 YEARS OR LESS  (b)  C. CONFIDENTIAL  O  O  O  O  O  O  O  O  O  O  O  O  O	4. SENIOR OFFICE	AL (Section 5.J. E.	0. 12356)	· · · · · · · · · · · · · · · · · · ·								rity and	
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(IMPORTANT — Read instructions on reverse before completing this form)

INTERAGENCY REPORT CONTROL NUMBER

0230-NAR-AN

### **AGENCY SECURITY CLASSIFICATION** MANAGEMENT PROGRAM DATA

1. FISCAL YEAR COVERED 1997

2.	DEPARTMENT,	INDEPENDENT	AGENCY OR	ESTABLISHMENT

3. CONTACT FOR ADDITIONAL INFORMATION (Name, office and telephone no.)

U.S. Department of Transportation

Lee A. Privett, Acting Director Office of Security & Admin. Mgmt.

4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)

Telephone: (202) 366-4677

Melissa J. Spillenkothen Assistant Secretary for Administration

	Ę	. NUMBER OF	ORIGINAL (	CLAS	SSIFICATION AUTHORITIES
7	-	CEODET		10	AA. 1819 T. 1814

A. TOP SECRET	B. SECRET	C. CONFIDENTIAL	D. TOTAL	-						
0	9	0	9							

### 6. NUMBER OF CLASSIFICATION DECISIONS

	ORIGINAL	CLASSIFICATION	
CLASSIFICATION LEVEL	DECLASSIFY IN 10 YEARS OR LESS (a)	EXEMPT FROM DECLASSIFICATION IN 10 YEARS (b)	DERIVATIVE
A. TOP SECRET	0	0	0
B. SECRET	0	0	3,165*
C. CONFIDENTIAL	1	0	17,467*

7. MANDATORY	CASES CARRIED		CASES CARRIED	DECLASSIFICATION DECISIONS (Report in pages)					
REQUESTS	OVER FROM THE PREVIOUS PERIOD (a)	NEW CASES RECEIVED (b)	OVER TO NEXT PERIOD (c)	GRANTED IN FULL (d)	GRANTED IN PART (e)	DENIED (1)			
A. REQUESTS	0	2	0	2	0	0			
B. APPEALS	1	. 0	0	1	0,	0			

8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)

9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews

142

10. EXPLANATORY COMMENTS

(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to form.) \* The increase in derivative classification is attributed to an increase in the number

of	classified	operations	in	which	the	U.S.	Coast	Guard	participated	during	FY	97.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

STANDARD FORM 311 (REV. 8-97) Prescribed by NARA/ISOO E.O. 12958 32 CFR 2001.60

(IMPORT	TANT — Read	d instructions on rev	versa bet	ore con	npleting this for	n)	CONTACL	NOY REPORT NUMBER 230-NAR-AN
	AGENO MAI	CY SECURITY ON MAGEMENT PRO	CLASSII OGRAM	FICAT I DAT	rion A		1. FISCAL	YEAR COVERED
2. DEPARTMENT,	INDEPENDENT	AGENCY OR ESTABLIS	HMENT	3. CON	TACT FOR ADDITION	VAL INF	ORMATION (	Name, office and
		ransportation		Lee	A. Privett, ice of Securi			
4 SENIOR AGENO Melissa J.	•	ection 5.8, E.O. 12958)		Ma	anagement			
		for Administrat:	ion	Tele	ephone: 202 3	66-46	39	
		5. NUMBER OF OR	IGINAL CL	ASSIF	CATION AUTHORI	TIES		
A TOP SECRET		B. SECRET		C. CONF	FIDENTIAL	0	TOTAL	
0		9			0		9	
		6. NUMBER	of class	IFICATI	ON DECISIONS			
			RIGINAL CLA					
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A TOP SECRET		0			00		13	
B. SECRET		0			. 0		2,582	
C. CONFIDENTIAL		0			0		7,158	
	CASES		CASE		DECL		ATION DECIS	ICNS .
7. MANDATORY REVIEW REQUESTS	CARRIED OVER FROM THE PREVIOU PERIOD (a)		CARRI CVER NEX PERK (c)	TO T	GRANTED IN FULL (d)	GRANTED IN PART		DENIED (f)
A REQUESTS	0	0	0		0		0	0
B. APPEALS	0	0	0		0		0	0
SYSTEMATIC RE (Sections 3.4 and	VIEW FOR DEC 3.5 of EQ 1296	ATIC DECLASSIFICATION LASSIFICATION 19)	AND S	i INTER Numb	INAL AGENCY OVER or of Formal Inspect	SIGHT Ions, Su	iveys, or Proç	gram Reviews
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			SECURITY CLA SEMENT PROGI				1. FISCAL YEAR CO	
2. DEPARTMENT, INDEF	ENDENT AGENCY	OR ES	TABLISHMENT		3.CONTAC	CT FOR ADDITIONAL INFOR	MATION (Name, office, a	nd telephone no.)
U.S. Depa	rtment of	Tran	nsportation		Richa	ard B. Thompson		
4. SENIOR AGENCY OFF	ICIAL (Section 5.6	, E.O.	12958)			e of Security gement (202) 3		ative
Melissa J	. Allen	for	: Administrati	on	Manag	gement (202) 3	00-4076	
Assistant	Secretary				LASSIFIC	ATION AUTHORITIE	S	
A. TOP SECRET	.	B. SEC	RET		C. CONFID	ENTIAL	D. TOTAL	9
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						ON DECISIONS		
			ORIG	INAL CLA	SSIFICA	TION		
CLASSIFICATION DECLASSIFY IN 10 YEARS LEVEL OR LESS				YEARS		T FROM DECLASSIF	i- DER	IVATIVE
			(a)			(b)		
A. TOP SECRET			0			0		22
B. SECRET			0			0	16:	34
C. CONFIDENTIAL	L		0			0	1799	90
	CASES			CAS	ES		SIFICATION DECI	SIONS
7. MANDATORY	CARRIED		NEW CASES	CARP	AICD		(Report in pages)	
REVIEW REQUESTS	OVER FRO	- 1	NEW CASES RECEIVED	OVER NEX	GRANTED IN		GRANTED IN	DENIED
	PERIOD			PERI		FULL	PART	DENIED
	(a)	-	(b)	(c)		(d)	(e)	(f)
A. REQUESTS	0		0	0		0	0	0
B. APPEALS	0		0	0		0	0	0
			SIFICATION AND SYSTEM and 3.5 of EO 12958)	MATIC		L AGENCY OVERSIGHT of Formal Inspections, Surve	ys, or Program Reviews	
2 documen	ts, 17 pag	ges						
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(IMPORTANT - Read instructions on reverse before completing this form) 0230-NAR-AN 1. FISCAL YEAR COVERED AGENCY SECURITY CLASSIFICATION 2000 MANAGEMENT PROGRAM DATA 2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT 3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.) Richard B. Thompson U. S. Department of Transportation Office of Security and Administrative Mgmt. 4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958) 202-366-4678 Melissa J. Allen Assistant Secretary for Administration 5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES C. CONFIDENTIAL D. TOTAL A. TOP SECRET B. SECRET 9 0 6. NUMBER OF CLASSIFICATION DECISIONS ORIGINAL CLASSIFICATION CLASSIFICATION DECLASSIFY IN 10 YEARS EXEMPT FROM DECLASSIFI-**DERIVATIVE** LEVEL OR LESS CATION IN 10 YEARS (a) (b) 0 15 0 A. TOP SECRET 2641 0 6 B. SECRET 5822 0 1 C. CONFIDENTIAL DECLASSIFICATION DECISIONS CASES CASES (Report in pages) CARRIED CARRIED 7. MANDATORY **REVIEW** OVER FROM **NEW CASES** OVER TO GRANTED IN GRANTED IN THE PREVIOUS RECEIVED NEXT REQUESTS DENIED FULL **PART PERIOD** PERIOD (b) (c) (f) (a) (e) 0 0 0 0 3 31 pages A. REQUESTS 0 0 0 B. APPEALS 8. PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC 9. INTERNAL AGENCY OVERSIGHT REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958) Number of Formal Inspections, Surveys, or Program Reviews 20 19 10. EXPLANATORY COMMENTS (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to Compared with previous reports, the U.S. Coast Guard had a decline in Confidential derivative decisions as a result of an in-depth review. A classification review by the Information Security Oversight Office revealed a possible duplication of derivative decisions in previous reports.

INTERAGENCY REPORT CONTROL NUMBER

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			SECURITY CLA GEMENT PROGI				1. FISCAL YEAR CO	VERED 2001
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September 2001,	and in some	case	s because of more	e accurate	reportin	g. The increase in	the	number of ove	rsight	
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This year's statis	stics are signi	ifican	tly lower because	of the tran	nsfer of th	ne U.S. Coast Guar	d ar	nd the		
Transportation S	Security Admi	nistra	ation to the Homel	and Secur	ity Depa	rtment.	•			
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DRAFT AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and	typewritten, and reach the Information Sec	urity Oversight Office (ISOO) no later than N	lovember 15 following the reporting period.)
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	PART A: Identifying Information	AND THE PROPERTY OF
1.	Enter the Fiscal Year that this report covers.	1
_	FY 2004 Identify the Department, Independent agency or establishment that is covered by this report.	
	U.S. Department of Transportation	
3.	Enter the name, title, address, phone, fax, and email address of the <b>Senior Agency Official</b> (as defined in EO 12958, as ame Section 5.4(d)) responsible for this report.	
	Vincent T. Taylor, Assistant Secretary for Administration, US Dept of Transportation, 400 SW, Washington, DC 20590; 202-366-2332, fax 202-3666-7211; vincent.taylor@ost.dot.	Seventh St.   gov
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this re	port.
	Richard T. Thompson, Associate Director for Security Policy, 202-366-4678, fax 202 richard.thompson@ost.dot.gov	2-493-2006,
M. V.	PART B: Officials with Original Classification Authority	5.2000 地震的
5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 7
foll the rea dis	PART C: Original Classification Decisions  ginal classification is an initial determination that the information to be classified has not been praviously classified by any other authority. It allowing conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under a United States Government; (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended, and; (4) unauthorize isomably be expected to result in damage to the national security. [Provide information only on classification decisions contained in finished production or retention, regardless of the media. Do not count reproductions or copies.]  Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	er the control of disclosure could
10	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.
11	. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11.
	. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.
13	<ul> <li>Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.</li> </ul>	13.
14	. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.
15	<ul> <li>Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.</li> </ul>	15.
16	s. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16. O
17	'. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17. 0
18	. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18. 0
on	PART D: Derivative Classification Decisions  rivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is atready classified. This includes classification guides or other source documents, if possible, include derivative classification actions made by contractors.	classification based
19	Enter the number of derivative TOP SECRET classifications during the reporting period.	19.
20	). Enter the number of derivative SECRET classifications during the reporting period.	<b>20.</b> 15
21	. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.
22	2. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	<b>22.</b> 15

# DRAFT

Enter the Fiscal Year that this report covers.	
FY 2004	
<ol> <li>Identify the Department, Independent agency or establishment that is covered by this report.</li> <li>U.S. Department of Transportation</li> </ol>	
PART E: Mandatory Declassification Review Requests and Appeals  A request is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of Report only requests for you agency in which your agency is responsible for the final decision. Please provide an explanati where the number of requests or appeal carried forward between periods changes.	the request. Ion in Part I below
23. Enter the number of requests carried over from the previous reporting period.	23.
24. Enter the number of new requests received during the reporting period.	24. 0
25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals carried over from the previous reporting period.	<b>26</b> . 0
27. Enter the number of new appeals received during the reporting period.	27.
28. Enter the number of appeals carried over to the next reporting period.	28.
PART F: Mandatory Declassification Review Decisions in Pages	a pristanti sa webera
29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification.	31. 0
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32
33. Enter the number of appealed pages that were declassified in full.	33.
34. Enter the number of appealed pages that were declassified in part.	34.
35. Enter the number of appealed pages that were denied declassification.	35.
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	<b>36.</b> 0
PART G: Automatic Declassification and Systematic Review	计通讯表 混合法
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, E012958, as amended.	37.
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.
PART H: Internal Agency Oversight	
39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 64
40. Enter the number of internal challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40.
PART I: Explanatory Comments	

Please note that we have dropped three Confidential Original Classification Authorities since last year. Also, upon further review of the SF 311 instructions, we did not report any TOP SECRET derivative classification decisions this year because all of the documents produced were of a working paper nature, and not finished products for dissemination or retention. If you have any questions please call Richard Thompson at 202-366-4678, or David Meade at 202-366-8891.

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STANDARD FORM 311 BACK (REV 11-03) Prescribed by NARA/ISOO 32 CFR 2001.60 E.O. 12958

OL	omissions must be unclassified and typewritten, and reach the information Security Oversight Office (ISOO) no later than November 15 following	the reporting period.)
	PART A: Identifying Information	
1.	Enter the Fiscal Year that this report covers. 2005	
2.	Identify the Department, Independent agency or Establishment that is covered by this report.	
	Department of Transportation	
3.	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as am Section 5.4(d)) responsible for this report.	ended,
	Ms. Linda J. Washington, Acting Assistant Secretary for Administration (M-1), US Department of Transportati St., SW, Washington, DC 20590 Phone: 202-366-2332, fax: 202-366-2191	on, 400 Seventh
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this re-	eport.
	David Meade, Security Specialist, phone 202-366-8891, fax 202-493-2006, david.meade@dot.gov	
	PART B: Officials with Original Classification Authority	Latera Grade
5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	7
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10.	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. O
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12.	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.
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17.	Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17. 0
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	PART D: Derivative Classification Decisions	
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	ntion, regardless of the media. Do not count reproductions or copies.]  Enter the number of derivative TOP SECRET classifications during the reporting period.	19
	Enter the number of derivative SECRET classifications during the reporting period.	20.
	Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	13
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22.	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22. 14

Enter the Fiscal Year that this report covers.	
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Department of Transportation	
PART E: Mandatory Declassification Review Requests and Appeals 1999	
A request is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of	if the request.
Report only requests for your agency in which your agency is responsible for the first decision. Please provide an explanation the number of requests or appeals carried forward between reporting periods changes:	ation in Part I below
23. Enter the number of requests carried over from the previous reporting period.	23.
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24. Enter the number of new requests received during the reporting period.	24.
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25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals carried over from the previous reporting period.	25.
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27. Enter the number of new appeals received during the reporting period.	27.
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28. Enter the number of appeals carried over to the next reporting period.	28.
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PART F: Mandatory Declassification Review Decisions in Pages	29.
29. Enter the number of requested pages that were declassified in full.	23.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification.	31,
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32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	0
33. Enter the number of appealed pages that were declassified in full.	33.
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37. Enter the number of pages reviewed during the reporting period that were subject to declassification under	37.
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38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	8.000
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39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program,	39.
completed during the reporting period.	84
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly	40.
classified or unclassified. (See EO 12958 as amended, Section 1.8)	0
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(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information.

1.	Enter the Fiscal Year that this report covers.	
	2006	
2.	Identify the Department, Independent agency or Establishment that is covered by this report.	
	U. S. Department of Transportation	
3.	Enter the name, title, address, phone, fax, and email address of the <b>Senior Agency Official</b> (as defined in EO 12958, as ame Section 5.4(d)) responsible for this report.	ended,
	Ms. Linda J. Washington, Acting Assistant Secretary for Administration (M-1), U.S. Departme	nt of
	Transportation, 400 Seventh St., SW, Washington, DC 20590 Phone: 202-366-2332, Fax: 20	2-366-2191
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this re	port.
	Margaret L. Rose, Classified Information Security Specialist, Phone: 202-366-9524, Fax: 2006, e-mail: margaret.rose@dot.gov	202-366-
	PART B: Officials with Original Classification Authority	
5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.
		0
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.
27.85 0.0		
Ori	PART C: Original Classification Decisions ginal classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also	meets the following
cor	ditions; (1) it was classified by an original classification authority, (2) the information is owned by, produced by or for, or is under the control of the vernment; (3) it falls into at least one of the categories found in Section 1.4 of EQ 12958, as amended; and, (4) unauthorized disclosure could rea	United States
ехр	ected to result in damage to the national security. Provide information only on classification decisions contained in finished products for dissemi	nation or retention,
	ardless of the media. Do not count reproductions or copies.]  Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification	9.
9.	instructions of 10 years or less.	<b>3.</b>
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11.	Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11.
12.	Enter the number of <b>original SECRET</b> classification decisions made during the reporting period with <b>declassification</b> instructions of 10 years or less.	12.
13.	Enter the number of <b>original SECRET</b> classification decisions made during the reporting period with <b>declassification instructions ranging from over 10 years to 25 years</b> .	13.
14.	Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.
15.	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15,
16.	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.
17.	Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.
18.	Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.
Fei .	PART D: Derivative Classification Decisions	
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	Enter the number of derivative TOP SECRET classifications during the reporting period.	19
20.	Enter the number of derivative SECRET classifications during the reporting period.	20.
	Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	5
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22.	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22. 6

Identify the Department, Independent agency or establishment that is covered by this report.   U. S. Department of Transportation   PART E: Mandatory Declassification Review Requests and Appeals
U. S. Department of Transportation  PART E: Mandatory Declassification Review Requests and Appeals A 'request' is an individual review request or appeal, 'regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency is responsible for the final decision, Please provide an explanation in Part I below where the number of requests carried forward between reporting periods.  23. Enter the number of requests carried over from the previous reporting period.  24. Enter the number of new requests received during the reporting period.  25. Enter the number of requests carried over to the next reporting period.  26. Enter the number of appeals carried over from the previous reporting period.  27. Enter the number of new appeals received during the reporting period.  27. Enter the number of appeals carried over to the next reporting period.  28. Enter the number of appeals carried over to the next reporting period.  29. Enter the number of requested pages that were declassification Review Decisions in Pages  29. Enter the number of requested pages that were declassified in full.  30. Enter the number of requested pages that were declassification.  31. O  32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)
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34. Enter the number of appealed pages that were declassified in part.  0
35. Enter the number of appealed pages that were denied declassification.  35.
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)
PART G; Automatic Declassification and Systematic Review
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, E012958, as amended. 515 036
Sections 3.3 & 3.4, EO12958, as amended.  515,036  38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.  2,241
PART H: Internal Agency Oversight
39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.  39.
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)
PART I: Explanatory Comments
se this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant langes in trends/numbers from the previous year's report.
anges in Renastrambers from the previous years Teport.

(Su	bmissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following	g the reporting period.)
_	PART A: Identifying Information	
1.	Enter the Fiscal Year that this report covers.	
2	Fiscal Year 2007 Identify the Department, Independent agency or Establishment that is covered by this report.	
Z.		
2	Department of Transportation  Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as an	pended
3,	Section 5.4(d)) responsible for this report.	
	Linda Washington Assistant Secretary for Administration (M-1) 1200 New Jersey Avenue, SE Washington, DC 20590	
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this	report.
	Lee Privett 202-366-4677  Director of Security (M-40) E-mail: lee.privett € dot.gov  Room W54-336  1200 New Jersey Ave, SE	
	Washington, DC 20590	
	PART B: Officials with Original Classification Authority	
5,	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	
9.	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.  Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification to the number of original TOP SECRET classification decisions made during the reporting period with declassification	9. 0
	instructions ranging from over 10 years to 25 years.	0
	Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	0
	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.
13.	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.
14.	Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.
	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.
16.	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.
17.	Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	<sup>77.</sup> 0
18.	Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18 0
Deri	PART D: Derivative Classification Decisions  velve classification is the incorporating, persphrasing, restating, or penerating in their form information that is already classified. This includes asself-cation guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for	clevelfeaton bases disseraination or
oto	stion, regardless of the media. Do not count reproductions or copies.	
	Enter the number of derivative TOP SECRET classifications during the reporting period.	0
	Enter the number of derivative SECRET classifications during the reporting period.	20,
21.	Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.
22.	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.

Enter the Fiscal Year that this report covers.  Fiscal Year 2007  Identify the Department, independent agency or establishment that is covered by this report.  Department of Transportation	
PART E: Mandatory Declassification Review Requests and Appeals A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as a Report only requests for your agency in which your agency is responsible for the final decision. Please provide an ex- where the number of requests or appeals carried forward between reporting periods changes.	pert of the request, optimistion in Part I below
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24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals carried over from the previous reporting period.	26.
27. Enter the number of new appeals received during the reporting period.	27.
28. Enter the number of appeals carried over to the next reporting period.	28.
PART F: Mandatory Declassification Review Decisions in Pages	
29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification.	31.
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.
33. Enter the number of appealed pages that were declassified in full.	<b>33</b> .
34. Enter the number of appealed pages that were declassified in part.	<b>34.</b> 0
35. Enter the number of appealed pages that were denied declessification.	<b>35.</b> 0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	* 0
PART G: Automatic Declassification and Systematic Review	
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, E012958, as amended.	37. 380,000
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PART I: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program,

 Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)

Part G "Automatic Declassification and Systematic Review"--Following the submission of the 2007 Declassification Plan update to ISOO, we experienced an slight increase in the number of pages reviewed for automatic declassification for FY 2007.

PART H: Internal Agency Oversight

0

115

40.

completed during the reporting period.

250	missions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following  PART A: Identifying Information	
1.	Enter the Fiscal Year that this report covers.	
	October 1, 2007 -September 30, 2008	
2.	Identify the Department, Independent agency or Establishment that is covered by this report.	
	Add to the same of	
3.	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as ame	ended,
	Section 5.4(d)) responsible for this report.  Linda Washington	
	Assistant Secretary for Administration, M-1	
	1200 New Jersey, Ave, SE Washington, DC 20509	
١.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this re	eport.
	Lee Privett Phone: 202-366-4677	
	Director Email: Lee.Privett@dot.gov  Office of Security, M-40	
	1200 New Jersey Ave, SE Washington, DC 20590	
4.0		
	PART B: Officials with Original Classification Authority  Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.
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	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.
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•	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.
t	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8-
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×	litions: (1) It was classified by an original classification authority; (2) the information is owned by, produced by or for, or is under the control of the emment; (3) It falls into at least one of the categories tound in Section (14 of EQ 12088, as amended, and, (4) unauthorized disclosure could restricted to result in demage to the national security. [Provide information only on classification decisions contained in finished products for dissemindless of the media. Do not count reproductions or copies.]	isonably be
XI SIG	amment, (3) it falls into at least one of the categories found in Section 1.4 of EO 12958, as amended, and, (4) unauthorized disclosure could re- acted to result in damage to the national security. [Provide information only on classification decisions contained in finished products for dissem-	e United States Isonably be
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22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)

Enter the <b>Fiscal Year</b> that this report covers.		1
October 1, 2007 -September 30, 2008		
Identify the <b>Department, Independent agency or establishment</b> that is covered by this report.  U.S. Department of Transportation		
PART E: Mandatory Declassification Review Requests and Appeals		10.4
A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explana where the number of requests or appeals carried forward between reporting periods changes.	the request. Ion in Part I belov	. [V
23. Enter the number of requests carried over from the previous reporting period.	23.	
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24. Enter the number of new requests received during the reporting period.	24.	
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25. Enter the number of requests carried over to the next reporting period.	25.	
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26. Enter the number of appeals carried over from the previous reporting period.	26.	
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30. Enter the number of requested pages that were declassified in part.	30.	-
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31. Enter the number of requested pages that were denied declassification.	0	
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	
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33. Enter the number of appealed pages that were declassified in full.	33.	
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34. Enter the number of appealed pages that were declassified in part.	34.	
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35. Enter the number of appealed pages that were denied declassification.	35.	
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36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.	
	- 0	E AUC
PART G: Automatic Declassification and Systematic Review		V
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under	37.	
Sections 3.3 & 3.4, EO12958, as amended.	0	
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	
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PART H: Internal Agency Oversight		
39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program,	39.	1./
completed during the reporting period.	75	V
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly	40.	
classified or unclassified. (See EO 12958 as amended, Section 1.8)	0	
PART I: Explanatory Comments		

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

Part G: We continue to ensure that each DOT organization identifies and reviews for possible declassification all classified information it holds that is of permanent historical value and that would be at least 25 years old as of December 31st of each year. As reported to ISOO earlier this year in the Annual Assessment of Agency Declassification Reviews (April 29, 2008), DOT had no data to report.

If you have any questions, please contact Margaret Rose at 202-366-9524 or at margaret.rose@dot.gov.

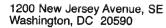
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10.	AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA braissions must be unclassified and typewritten, and reach the information Security Oversight Office (ISOO) no letter than November 15 following	the rer	norting period.)
100		200 100	
1.	Enter the Fiscal Year that this report covers.		7
	October 1, 2008-September 30, 2009		
2.	Identify the Department, Independent agency or Establishment that is covered by this report.		
	U.S. Department of Transportation		
3.	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as am Section 5.4(d)) responsible for this report.	ended	
	Linda Washington Assistant Secretary for Administration 1200 New Jersey Ave, SE Washington, DC 20508		
4.	Enter the name, title, phone, fax and small address for the point-of-contact responsible for answering questions about this	eport.	
-	Louis Wideweld Phone: 202-366-0919 Acting Director Ernelt: lou.wideweld@dot.gov		
-	Office of Security, M-40 1200 New Jersey Ave, SE		
	Washington, DC 20509		
5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	
	Patro the market of second affects where blacked level of adelest should be without to be 1988	6.	
•	Enter the number of agency officials whose highest level of original classification authority is SECRET.		7
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	
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18.	Total number of original classification decisions. (Sum of blocks 11, 14, & 17)		
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20.	Enter the number of derivative SECRET classifications during the reporting period.	20.	51
21,	Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.	8
22.	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	¥	4 4 4 4 4 4

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October 1, 2008-September 30, 2009	
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23. Enter the number of requests carried over from the previous reporting period.	23.
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	in the first
<ol> <li>Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 &amp; 3.4, EO12958, as amended.</li> </ol>	37.
38. Enter the number of pages declaratified under Sections 3.3 & 3.4, EO 12958, as amended.	38.
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39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program,	39.
completed during the reporting period.	4
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly	40.
classified or unclassified. (See EO 12958 as amended, Section 1.8)	0

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in transformation from the previous year's report.

Part D: The increase in derivative classifications over what DOT reported for FY 08 is due to an increase in the number of classified documents prepared as briefings for senior management officials.





Office of the Secretary of Transportation

NOV 16 2010

Mr. William J. Bosanko Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Bosanko:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2010.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

Robert M. Lee, Jr., Acting Director

Office of Security

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.) PART A: Identifying Information 1. Enter the Fiscal Year that this report covers. 2010 2. Identify the Department, Independent agency or Establishment that is covered by U.S. Department of Transportation 3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report. 4. Enter the name, title, phone, fax, and e-mail address for the point-of-contact Robert M. Lee, Jr., responsible for answering questions about this report. Acting Larecton 202-368-4677 E-mall: Rob.Lee@doLgov PART B: Officials with Original Classification Authority 5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET. 5. 0 6. Enter the number of agency officials whose highest level of original classification authority is SECRET. 7 6. 7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL. 7. 0 8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7) 8. 7 PART C: Original Classification Decisions Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.) 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions 0 of 10 years or less. 10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions 10. 0 ranging from over 10 years to 25 years. 11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10) 11. 0 12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 0 years or less. 13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions 0 ranging from over 10 years to 25 years. 14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13) 14. 0 15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification 15. 0 instructions of 10 years or less. 16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification 16. 0 instructions ranging from over 10 years to 25 years. 17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16) 17. 0 18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17) 18. 0 PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.) 19. Enter the number of derivative TOP SECRET classification decisions during the reporting period. 57 20. Enter the number of derivative SECRET classification decisions during the reporting period. 20. 16 21. Enter the number of derivative CONFIDENTIAL classification decisions during the reporting period. 21. 22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)

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39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.  40. Enter the number of pages declassified under section 3.4 of E.O. 13526.  41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.  41. O  PART H: Internal Agency Oversight  43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.  44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)  45. Enter the number of challenges where the classification status was fully affirmed.  46. O  PART I: Classification Guides  47. Enter the number of security classification guides created by your agency and currently in use.			0	
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45. Enter the number of challenges where the classification status was fully affirmed.  45. 0  46. Enter the number of challenges where the classification status was overturned in whole or in part.  46. 0  PART I: Classification Guides  47. Enter the number of security classification guides created by your agency and currently in use	44. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	44.		
46. Enter the number of challenges where the classification status was overturned in whole or in part.  46. 0  PART I: Classification Guides  47. Enter the number of security classification guides created by your agency and currently in use	45. Enter the number of challenges where the classification status was fully affirmed.	45.		
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47. Enter the number of security classification guides <b>created</b> by your agency and <b>currently in use</b> .  47. O	PART I: Classification Guides			
	47. Enter the number of security classification guides created by your agency and currently in use.	47.	0	

Fiscal Year 2010 Department or Agency U.S. Department of Transportation

PART J: Explanatory Comments			
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.			
Sampling Period (check one): 2-Week ☐ 4-Week ☐	Sampling Period: October 1, 2009 through September 30, 2010.		
8-Week   One Year   Multiplier Applied (check one): None   Other (Specify)	DOT collected information for the SF 311 by disseminating it, via e-mail, to security points-of-contact who have security-related responsibilities throughout DOT. These individuals reviewed classified operations and classified material under their purview, completed an SF 311 for their organizations, and provided the data for compilation by the Office of Security.		



U.S. Department of Transportation Office of the Secretary of Transportation 1200 New Jersey Ave, SE Washington D.C. 20590

NOV 1 0 2031

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2011.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

David K. Bell

Director

Office of Security

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying	Information		
1. Enter the Fiscal Year that this report covers.		<sup>1.</sup> 2011	
2. Identify the Department, Independent agency or Establishment that is covered by this report.	<sup>2.</sup> U.S. Department of Tr	ansportation	
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodi Fentenet Assistant Secretary for Administration 1200 New Jersoy Ave. SE Weshington DC 20509 (202) 300-2355 Brodi Fontenet@det.gov		
4. Enter the name, title, phone, fax, and e-mail address for the point-of-contact responsible for answering questions about this report.	4 David K. Bell Director of Security 1200 New Jersey Ave, SE Washington, DC 20509 200-260-4677 David K. Bell@dot gov		
PART B: Officials with Original	Classification Authority.		
5. Enter the number of agency officials whose highest level of original classification auti	hority is TOP SECRET.	5.	
6. Enter the number of agency officials whose highest level of original classification aut	hority is SECRET.	6. 8	
7. Enter the number of agency officials whose highest level of original classification auti	hority is CONFIDENTIAL.	7.	
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, &	27)	8. 8	
PART C: Original Classif	Tention Decisions		
Original classification is an initial determination that the information to be classified has following conditions: (I) it was classified by an original classification authority, (2) the I Government, (3) it falls into at least one of the categories found in section I.4 of E.O. 13 damage to the national security. (Provide information on all classification decisions, regardon of count reproductions or copies.)	nformation is owned by or for, or is under the control of 26; and (4) unauthorized disclosure could reasonably t	of the United States be expected to result in	
<ol> <li>Enter the number of original TOP SECRET classification decisions made during the of 10 years or less.</li> </ol>	reporting period with declassification instructions	9.	
10. Enter the number of original TOP SECRET classification decisions made during the ranging from over 10 years to 25 years.	e reporting period with declassification instructions	10.	
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 a	and 10)	11. 0	
12. Enter the number of original SECRET classification decisions made during the report years or less.	ting period with declassification instructions of 10	12,	
13. Enter the number of original SECRET classification decisions made during the reporanging from over 10 years to 25 years.	rting period with declassification instructions	13.	
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 1	3)	<sup>14.</sup> 0	
15. Enter the number of original CONFIDENTIAL classification decisions made during instructions of 10 years or less.	g the reporting period with declassification	15.	
<ol> <li>Enter the number of original CONFIDENTIAL classification decisions made during instructions ranging from over 10 years to 25 years.</li> </ol>	the reporting period with declassification	16.	
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks	s 15 and 16)	17. 0	
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)		18. 0	
PART D: Derivative Classi			
Derivative classification is the incorporating, paraphrasing, restating, or generating in new on classification guides of other source documents. (Provide information on all classifications are mail. Do not count reproductions or copies.)			
19. Enter the number of derivative TOP SECRET classification decisions during the rep	porting period.	<sup>19.</sup> 80	
20. Enter the number of derivative SECRET classification decisions during the reporting	20. Enter the number of derivative SECRET classification decisions during the reporting period.		
21. Enter the number of derivative CONFIDENTIAL classification decisions during the	e reporting period.	21. 2	
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)		<sup>22.</sup> 88	

PART E: Mandatory Declassification Review Requests and Appeals	
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the re-	quest: Report only
requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the appeals carried forward between reporting period changes.	number of requests or
23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)	23.
24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals carried over from the previous reporting period. (Block 28 on last year's report)	26.
27. Enter the number of new appeals received during the reporting period.	27.
28. Enter the number of appeals carried over to the next reporting period.	28.
PART F: Mandatory Declassification Review Decisions in Pages	
29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification	31.
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.
33. Enter the number of appealed pages that were declassified in full.	33.
34. Enter the number of appealed pages that were declassified in part.	34.
35. Enter the number of appealed pages that were denied declassification	35.
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)	36.
PART G: Automatic; Systematic; and Discretionary Declassification Reviews	
37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	37.
38. Enter the number of pages declassified under section 3.3 of E.O. 13526.	38.
39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	39.
40. Enter the number of pages declassified under section 3.4 of E.O. 13526.	40.
41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	41.
42. Enter the number of pages declassified under section 3.1 of E.O. 13526.	42.
PART H: Internal Agency Oversight	
43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.	43.
44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	44.
45. Enter the number of challenges where the classification status was fully affirmed.	45.
46. Enter the number of challenges where the classification status was overturned in whole or in part.	46.
PART 1: Classification Guides	
47. Enter the number of security classification guides created by your agency and currently in use.	47.

U.S. Department of Transportation 2011 Department or Agency Fiscal Year

Use this space to elaborate on any se changes in trends/numbers from the p	PART J: Expinnatory Comments  ction of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant previous year's report. Additionally, select the sampling process your agency used in developing this year's report.
Sampling Period (check one):  2-Week	The Department of Transportation currently has over 15,000 cleared federal employees and support contractors. DOT collected information to populate the SF 311 by disseminating the survey to security points of contact who have security cognizance in designated Operating Administrations. The Security Points of Contact then reviewed the classified operations under their purview and completed the survey based on the existing secure infrastructure found throughout their area of responsibility.  We also increased



U.S. Department of Transportation Office of the Secretary of Transportation 1200 New Jersey Ave, SE Washington D.C. 20590

NOV 15 3012

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2012. In 2012 there was a significant increase in the Department's derivative classification decisions. The Federal Aviation Administration (FAA) established a Current Intelligence Threat Evaluation (CITE) operations center that resulted in a significant increase in the derivative classification actions within DOT for FY 2012. We believe that the number of derivative classification decisions will level off as we refine our method of identifying decisions and provide standard training to our derivative classifiers.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

David K. Bell

Director

Office of Security

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

	aformation		<u> </u>
1. Enter the Fiscal Year that this report covers. October 2011-September 2012		1. 201	2
2. Identify the Department, Independent agency, or Establishment that is	<sup>2.</sup> U.S. Department of Trans	portat	ion
covered by this report.	U.S. Department of Trans	portat	JOH
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodi Fontenot Assistant Secretary for Administration, M1 1200 New Jersey Ave, SE WDC 20509 202-368-1400 Brodi Fontenot@dol.gov		
4. Enter the name, title, phone, fax, and e-mail address for the <b>point-of-contact</b> responsible for answering questions about this report.	4- David K. Bell, Director Office of Security, MAD 1200 New Jersey Ave, SE WVDC 20509 David Beni@dot gov		
PART B: Officials with Original C	lassification Authority		- 11
5. Enter the number of agency officials whose highest level of original classifica	tion authority is TOP SECRET.	5.	
5. Enter the number of agency officials whose highest level of original classifica		6.	8
7. Enter the number of agency officials whose highest level of original classifica		7.	
8. Total number of officials with original classification authority. (Sum of block		8.	8
PART C: Original Classific	eation Decisions	1	
control of the United States Government; (3) it falls into at least one of the catego could reasonably be expected to result in damage to the national security. (Provide the media, including those documented and disseminated via e-mail. Do not counted a security of the number of original TOP SECRET classification decisions made du	de information on all original classification de nt reproductions or copies.)	cisions, re	gardless of
9. Enter the number of original TOP SECRET classification decisions made du declassification instructions of 10 years or less.	iting the reporting period was	1	0
10. Enter the number of original TOP SECRET classification decisions made d	luring the reporting period with	10.	Ö
declassification instructions ranging from over 10 years to 25 years.			•
ucciassincation instructions ranging it on over 19 years a 25 to 19 con ch	Janka O R. 10)	111	
11. Total number of TOP SECRET original classification decisions. (Sum of b	olocks 9 & 10).	11.	0
<ul><li>11. Total number of TOP SECRET original classification decisions. (Sum of b</li><li>12. Enter the number of original SECRET classification decisions made during</li></ul>		11.	
<ul> <li>11. Total number of TOP SECRET original classification decisions. (Sum of b</li> <li>12. Enter the number of original SECRET classification decisions made during instructions of 10 years or less.</li> </ul>	the reporting period with declassification	12.	0
<ol> <li>Total number of TOP SECRET original classification decisions. (Sum of b</li> <li>Enter the number of original SECRET classification decisions made during instructions of 10 years or less.</li> <li>Enter the number of original SECRET classification decisions made during</li> </ol>	the reporting period with declassification		
<ol> <li>Total number of TOP SECRET original classification decisions. (Sum of b</li> <li>Enter the number of original SECRET classification decisions made during instructions of 10 years or less.</li> <li>Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years.</li> </ol>	the reporting period with declassification	12.	0
<ol> <li>Total number of TOP SECRET original classification decisions. (Sum of b</li> <li>Enter the number of original SECRET classification decisions made during instructions of 10 years or less.</li> <li>Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years.</li> <li>Total number of SECRET original classification decisions. (Sum of blocks</li> </ol>	the reporting period with declassification the reporting period with declassification 12 & 13)	12. 13.	0 0
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12. Enter the number of original SECRET classification decisions made during instructions of 10 years or less.  13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years.  14. Total number of SECRET original classification decisions. (Sum of blocks 15. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions of 10 years or less.  16. Enter the number of original CONFIDENTIAL classification decisions madeclassification instructions ranging from over 10 years to 25 years.  17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11. 14. & PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generatic classification based on classification guides or other source documents. (Provide including those documented and disseminated via e-mail. Do not count reproductions to the count reproduction of the count reproduction is the incorporating of the count reproduction of the count repro	the reporting period with declassification  the reporting period with declassification  12 & 13)  de during the reporting period with  de during the reporting period with  of blocks 15 & 16)  17)  fication Decisions  ng in new form information that is already classification decisions, rections or copies.)	12. 13. 14. 15. 16. 17. 18.	0 0 0 0 0 0
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For blocks 23-30, report only requests and appeals in which your agency is responsible for the final release.  3. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26,	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
For blocks 31-32, report the number of requests and appeals that were referred to your agency, and the referring responsible for the final release.	ng agenc	y is
31. Enter the number of referred requests received during the reporting period.	31,	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages  Count only those pages documented in blocks 23-30 above.		
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37. 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews		,
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification. 0	44.	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification. 0	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	48
48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	48.	0
49. Enter the number of challenges where the classification status was fully affirmed.	49.	0
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	0
51. Enter the number of security classification guides created by your agency and currently in use.	51.	0

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
In Fiscal Year 2012, the Federal Aviation Administration (FAA), Office of Emergency Operations, Communications and Investigations, Intelligence and Threat Analysis Division established and staffed a 24/7 Current Intelligence Threat Evaluation (CITE) operations center that has resulted in a significant increase in the derivative classification actions within DOT for FY 2012.



Assistant Secretary for Administration

1200 New Jersey Avenue, SE Washington, DC 20590

Office of the Secretary of Transportation

JAN 02 2014

Mr. John P. Fitzpatrick Director. Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the complete Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2013. Additional training was initiated in early 2013 addressing the proper requirements for tracking derivatively classified documents. This training increased the awareness throughout the Department of Transportation to ensure continuity and consistency in derivative accountability. Further, as directed by the Office of Inspector General during this year's Reducing Over- Classification audit, we switched to one of ISOO's recommended sampling techniques. This is an actual count of derivative actions for a two-month period multiplied by 6.5, to more closely approximate derivative activity for a full year. As a result, the increase in this 2013 report reflects greater accuracy in accountability and reporting than a genuine increase in derivatively classified items.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <u>Joan.Harris@dot.gov</u>.

Sincerela

Brodi Fontenot

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying	INDINIA DON	1	
1. Enter the Fiscal Year that this report covers.		1.	2013
2. Identify the Department, Independent agency, or Establishment that is	2.		
covered by this report.		tment of Tran	sportation
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior	3.		
Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this	Brodi Fontenet		
report.	Assistant Secretary for Administration, M1 1200 New Jersey Ave. SE WDC 20390/202-366-1400/Broid Fonlenot@dok.	801	
4. Enter the name, title, phone, fax, and email address for the point-of-contact	4.		
responsible for answering questions about this report.	Lou Watowski		
responsible to anomorniz decream acousting about	Office of Security, M40/1200 New Jersey Ave SE WDC / Lou Widowski god	kst.gov	
PART B: Officials with Original	Classification Authority		
5. Enter the number of agency officials whose highest level of original classifica		5.	
6. Enter the number of agency officials whose highest level of original classifica	tion authority is SECRET.	6.	{
7. Enter the number of agency officials whose highest level of original classifica	tion authority is CONFIDENTIAL.	7.	(
8. Total number of officials with original classification authority. (Sum of block		8.	
PART C: Original Classifi			
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Original classification is an initial determination trial the information to be classification.	authority (2) the information is arread by an	for or is unde	or the
meets the following conditions: (1) It was classified by an original classification	aumority; (2) the information is owned by of	101, 01 is unoc	ar uru Alaalaerris
control of the United States Government; (3) it falls into at least one of the category	mes from section 1.4 of E.O. 15520, and (4)	misione rece	allocation
could reasonably be expected to result in damage to the national security. (Providence of the national security)	de information on all original classification of	ecisions, regar	GICSS UI
the media, including those documented and disseminated via email. Do not coun	t reproductions of copies.)	19.	
9. Enter the number of original TOP SECRET classification decisions made du	iring the reporting period with	9.	
declassification instructions of 10 years or less.  10. Enter the number of original TOP SECRET classification decisions made during the reporting period with		10.	
declassification instructions ranging from over 10 years to 25 years.			
11. Total number of TOP SECRET original classification decisions. (Sum of b	olocks 9 & 10).	11.	(
		12.	
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instructions ranging from over 10 years to 25 years.	are reporting period with decidabilitation	1	
14. Total number of SECRET original classification decisions. (Sum of blocks	12 & 13)	14.	
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16. Enter the number of original CONFIDENTIAL classification decisions ma	de during the reporting period with	16.	
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PART E: Mandatory Declassification Review Requests and Appeals		
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed  Report only requests for your agency in which your agency is responsible for the final decision.	as part of the r	equest.
23. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26.	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages		
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews	***************************************	
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification.	44.	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification.	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	1
48. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly</b> classified or unclassified. (E.O. 13526, section 1.8)	48.	0
49. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	49.	0
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	0
51. Enter the number of security classification guides created by your agency and currently in use.	51.	0

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
During 2013 the Department of Transportation Office of Inspector General conducted a department-wide review of DOT's classified management program under the Reducing Over-Classification Act, PL 111-258. In preparation for the audit the Department found that some components were counting derivative actions different from one another (e.g. some reported actual counts while others reported estimates). As directed during the 2013 audit, we selected one of the ISOO estimating methods and asked offices to follow that in order to achieve consistency. As a result FAA, which produces more derivative items than anywhere clse in DOT simply because of their size, reported an increase in derivative activity for 2013 relative to the report for 2012. Further, we provided additional training to DOT staff who regularly produce derivative products to further enhance staff knowledge. These actions early in 2013 combined to produce a report this year that yielded higher figures that were reported in previous years.

For ISOO Use Only	
ISOO Analyst Name:	Evan Coren
Date of QC:	1/6/2014
Analyst Initials:	EPC



### Memorandum

Subject:

ACTION MEMO: Request to sign two ISOO reports

Date:

NOV 19 2014

Lou Widawski, Director

Office of Security

Reply to: Attn. of

To: Brodi Fontenot, Assistant Secretary for Administration

#### BACKGROUND

As the designated Senior Agency Official for DOT's Classified National Security Information program, your signature is required to transmit the two attached annual reports to the Information Security Oversight Office (ISOO). These reports were prepared to meet standards in Executive Order 13526 and contain consolidated data from all the DOT agencies including FAA.

There are a few changes this year as compared to the 2013 reports. The SF311, Agency Security Classification Management Program report shows a decrease of approximately 17% in the number of derivative actions taken by DOT in 2014 as compared to the number we reported to ISOO in 2013. The primary reason for this decrease is because FAA stopped producing their Travel Exception Reports which were previously classified as Secret and Confidential. This reduced the overall number of derivative actions that we are required to report to ISOO.

The Agency Annual Self-Inspection Report requires that we inform ISOO how many of our clearance holders met the annual training requirement during the reporting period. While DOT hit 100% this year, FAA reported they trained 97% of their clearance holders. This resulted in a combined figure of 98% completions for DOT overall in the report to ISOO.

#### **ACTION**

Please sign the attached letter to Mr. Fitzpatrick that transmits to ISOO the Agency Annual Self-Inspection Program Data: FY 2014 as well as the Agency Security Classification Management Program Data report for Fiscal Year 2014.

Attachments (2)



Assistant Secretary For Administration

1200 New Jersey Ave, SE Washington D.C. 20590

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you two annual reports for 2014. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2014. The data in this year's report represent an actual count of derivative actions rather than an estimate as we have reported to you in the past.

Also enclosed is our completed Agency Annual Self-Inspection Program Data Report for Fiscal Year 2014. DOT's self-inspection program is conducted under my authority by the Director, Office of Security and at the Federal Aviation Administration under self-inspection authority we have delegated to them.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <a href="mailto:Joan.Harris@dot.gov">Joan.Harris@dot.gov</a>.

Sincerely

**Érodi** Fontentot

Enclosures (2)

	Information	T	201
1. Enter the Fiscal Year that this report covers.		1.	2014
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Depar	tment of Tran	sportation
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3,  Brodi Fontenot Assistant Secretary for Administration (M1) 1200 New Jersey Ave SE WDC 20590/202-366-1400 / Brodi Fontenot/@dot.g	kah	
4. Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report.	4. Lou Wishwiki, Director, Office of Security (M40) 1200 New Jersey Ave SE WDC 20590 / 202-366-0919ph / 202-366-7013fax.	l Lou Widowski g dot go	se.
PART B: Officials with Original	Classification Authority		
5. Enter the number of agency officials whose highest level of original classifications.	ation authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classifications.		6.	8
7. Enter the number of agency officials whose highest level of original classifications.		7.	0
8. Total number of officials with original classification authority. (Sum of block		8.	8
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instructions of 10 years or less.  13. Enter the number of original SECRET classification decisions made during instructions ranging from over 10 years to 25 years.  14. Total number of SECRET original classification decisions. (Sum of block of the number of original CONFIDENTIAL classification decisions made classification instructions of 10 years or less.  16. Enter the number of original CONFIDENTIAL classification decisions made classification instructions ranging from over 10 years to 25 years.  17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, & PART D: Derivative Class Derivative classification is the incorporating, paraphrasing, restating, or generate classification based on classification guides or other source documents. (Providingly those documented and disseminated via email. Do not count reproduction.)	g the reporting period with declassification s 12 & 13) ade during the reporting period with ade during the reporting period with n of blocks 15 & 16) t 17) sification Decisions ing in new form information that is already cla le information on all classification decisions, rections or copies.) de during the reporting period. ring the reporting period.	13. 14. 15. 16. 17. 18. assified. This egardless of the 19.	0 0 0 0

Report only requests for your agency in which your agency is responsible for the final decision.  23. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26.	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages		
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	
37. Enter the number of appealed pages that were declassified in full.	37.	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	(
42. Enter the number of pages declassified under automatic declassification.	42.	(
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	(
44. Enter the number of pages declassified under systematic declassification.	44.	(
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	(
46. Enter the number of pages declassified under discretionary declassification.	46.	(
PART H: Internal Agency Oversight		
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	
48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	48.	
49. Enter the number of challenges where the classification status was fully affirmed.	49.	
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	(
51. Enter the number of security classification guides created by your agency and currently in use.	51.	

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
Regarding questions no. 19 to 22: This report reflects a decrease of approximately 17% in the number of derivative classification actions taken in 2014 as compared to 2013. This change is mainly due to the fact that FAA is no longer producing Travel Exception Reports at the Secret and Confidential levels. In addition, in 2013 DOT and FAA used a sampling technique to estimate the number of derivative actions taken, but in 2014 we performed a 100% census. The change from estimated to actual numbers accounted for a very small portion of the change from last year's report to this year's report.
Regarding question no. 47: DOT understands that ISOO considers all the individual self-inspections which DOT performs on its components to constitute just one self-inspection for DOT. In fact during this reporting period FAA performed 55 individual inspections and DOT performed another 20 for the other DOT agencies and Secretarial Offices, and further, each of these were comprised of many separate visits, interviews and physical inspections. Nonetheless, we wrapped up all of this activity and reported just 1 self-inspection for DOT overall to comply with ISOO reporting requirements.
$\cdot$
For ISOO Use Only
ISOO Analyst Name:
Date of QC:

Analyst Initials:



# Assistant Secretary For Administration

1200 New Jersey Ave, SE Washington D.C. 20590

NOV 2 0 2015

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you this annual report for 2015. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2015.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <u>Joan.Harris@dot.gov</u>.

Sincerely,

Jeff Marootian

Enclosure

4/114 111 101111111111111111111111111111	Information		
. Enter the Fiscal Year that this report covers.		1.	2015
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Department of Transportation		
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3.  Jeff Marootian, Assistant Secretary for Adn	ninistration	
<ol> <li>Enter the name, title, phone, and email address for the point-of-contact responsible for answering questions about this report.</li> </ol>	4. Lou Widawski, Director of Security (contin	ued in Part 1)	
PART B: Officials with Original	Classification Authority		
5. Enter the number of agency officials whose highest level of original classific		5.	(
6. Enter the number of agency officials whose highest level of original classific	eation authority is SECRET.	6.	. 8
7. Enter the number of agency officials whose highest level of original classific	eation authority is CONFIDENTIAL.	7.	0
7. Enter the number of agency officials with original classification authority. (Sum of block)	des 5 6 & 7)	8.	8
PART C: Original Classification is an initial determination that the information to be class meets the following conditions: (1) it was classified by an original classification control of the United States Government; (3) it falls into at least one of the categorial reasonably be expected to result in damage to the national security. (Provided Part of the Control	ified has not been previously classified by any n authority; (2) the information is owned by or gories from section 1.4 of E.O. 13526; and (4) vide information on all original classification de	unauthorized	lisclosure
the media including those documented and disseminated via email. Do not cou	int reproductions or copies.)		
9. Enter the number of original TOP SECRET classification decisions made	during the reporting period with	9.	0
declassification instructions of 10 years or less.  10. Enter the number of original TOP SECRET classification decisions made declassification instructions ranging from over 10 years to 25 years.	during the reporting period with	10.	(
11. Total number of TOP SECRET original classification decisions. (Sum of		11.	(
12. Enter the number of original SECRET classification decisions made during	- the semesting paried with dealessification	12.	(
instructions of 10 years or less.			
instructions of 10 years or less.  13. Enter the number of original SECRET classification decisions made during transportations ranging from over 10 years to 25 years.	ng the reporting period with declassification	13.	
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<ol> <li>Enter the number of original SECRET classification decisions made durit instructions ranging from over 10 years to 25 years.</li> <li>Total number of SECRET original classification decisions. (Sum of block the number of original CONFIDENTIAL classification decisions in declassification instructions of 10 years or less.</li> <li>Enter the number of original CONFIDENTIAL classification decisions in declassification instructions ranging from over 10 years to 25 years.</li> <li>Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, 4)</li> </ol>	ng the reporting period with declassification as 12 & 13)  made during the reporting period with made during the reporting period with m of blocks 15 & 16) & 17)	14. 15.	
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instructions of 10 years or less.  13. Enter the number of original SECRET classification decisions made durit instructions ranging from over 10 years to 25 years.  14. Total number of SECRET original classification decisions. (Sum of block of the number of original CONFIDENTIAL classification decisions in declassification instructions of 10 years or less.  16. Enter the number of original CONFIDENTIAL classification decisions in declassification instructions ranging from over 10 years to 25 years.  17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, 4) and the confidence of the	ng the reporting period with declassification  ks 12 & 13)  made during the reporting period with  made during the reporting period with  m of blocks 15 & 16)  & 17)  sification Decisions  sting in new form information that is already cla de information on all classification decisions, rections or copies.)	14. 15. 16. 17. 18.	includes ae media,
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instructions of 10 years or less.  13. Enter the number of original SECRET classification decisions made durit instructions ranging from over 10 years to 25 years.  14. Total number of SECRET original classification decisions. (Sum of block of the number of original CONFIDENTIAL classification decisions in declassification instructions of 10 years or less.  16. Enter the number of original CONFIDENTIAL classification decisions in declassification instructions ranging from over 10 years to 25 years.  17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 11, 14, 4) and the confidence of the	ing the reporting period with declassification  is 12 & 13)  Inade during the reporting period with  Inade during the reporting period that is already classification decisions, rections or copies.)  Inade during the reporting period.	14. 15. 16. 17. 18. assified. This regardless of the 19.	includes ne media,

PART E: Mandatory Declassification Review Requests and Appeals  A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed a  Report only requests for your agency in which your agency is responsible for the final decision.		
23. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26.	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages		
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	. 0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification.	44,	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification.	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	47.	0
48. Enter the number of challenges where the classification status was fully affirmed.	48.	(
49. Enter the number of challenges where the classification status was overturned in whole or in part.	49.	0

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any
significant changes in trends/numbers from the previous year's report.
Part A item 4 con't:
Lou. Widowski@dot.gov, Director of Security
Phone: 202-366-0919
Email: lou.widawski@dot.gov
Part D, Derivative Classification Decisions
Tat D, Bellyady Classification Section
There was an overall 20% increase in the number of derivative classification actions in FY15 as compared to FY2014. This overall figure represents increases in both Secret and Confidential actions, as well as a slight (17%) decrease in Top Secret derivative actions. The overall increase was the result of three additional personnel who were assigned to intelligence duties in FAA as well as an increase in requests for reports of FAA produced derivatively classified products for use by other government agencies.

For ISOO Use Only	
ISOO Analyst Name:	
Date of QC:	
Analyst Initials:	



Assistant Secretary For Administration

1200 New Jersey Ave, SE Washington D.C. 20590

NOV 23 2016

Mr. William A. Cira
Acting Director, Information Security Oversight Office
National Archives and Records Administration
700 Pennsylvania Avenue, N.W.
Washington, DC 20408

Dear Mr. Cira:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit the annual report for 2016. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2016.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <u>Joan.Harris@dot.gov</u>.

Sincerely,

Lo way

Jeff Marootian

Assistant Secretary for Administration

Enclosure





	P.	ART A: Identifying Information	
1. Enter the Fiscal Year	r that this report covers.		<sup>1.</sup> 2016
2. Identify the Departm Establishment that is co	nent, Independent agency, or overed by this report.	2. Department of Transportation	
	tle of the Senior Agency O. 13526, section 5.4(d)) rt.	3. Jeff Marootian, Assistant Secretary for Administration	on
4. Point-of-contact resp	consible for answering questions	about this report:	
4a. Name:	<sup>4a</sup> .Lou Widawski		
4b. Title:	<sup>4b</sup> ·Director of Security		
4c. Email address:	4c.Lou.Widawski@dot.gov		
4d. Phone number:	<sup>4d.</sup> (202) 366-0919		
	PART B: Of	ficials with Original Classification Authority	
5. Enter the number of a	agency officials whose highest le	evel of original classification authority is TOP SECRET.	5. 0
6. Enter the number of a	ngency officials whose highest le	evel of original classification authority is SECRET.	6. g
7. Enter the number of a	agency officials whose highest le	evel of original classification authority is CONFIDENTIAL.	7. 0
8. Total number of office	cials with original classification a	authority. (Sum of blocks 5, 6, and 7)	8. 8
also meets the following the control of the Unit disclosure could reason	s an initial determination that the conditions: (1) it was classified ed States Government; (3) it falls ably be expected to result in dam	C: Original Classification Decisions information to be classified has not been previously/classified by an original classification authority; (2) the information is on into at least one of the categories from section 1.4 of E.O. 135 age to the national security. (Provide information on all original mented and disseminated via email. Do not count reproduction	wned by/or for, or is under 26; and (4) unauthorized at classification/decisions;
9. Enter the number of o		ation decisions made during the reporting period with	9. 0
10. Enter the number of		ication decisions made during the reporting period with	10. 0
		on decisions. (Sum of blocks 9 and 10)	11. 0
	original SECRET classification tions of 10 years or less.	n decisions made during the reporting period with	12. 0
13. Enter the number of		n decisions made during the reporting period with	13. 0
14. Total number of SE	CRET original classification de	cisions. (Sum of blocks 12 and 13)	14. 0
	original CONFIDENTIAL clations of 10 years or less.	ssification decisions made during the reporting period with	15. 0
16. Enter the number of		ssification decisions made during the reporting period with rs to 25 years.	16. 0
		cation decisions. (Sum of blocks 15 and 16)	17. 0
18. Total number of ori	ginal classification decisions. (S	Sum of blocks 11, 14, and 17)	18. 0

#### Department of Transportation

PART D: Derivative Classification Decisions  Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that includes classification based on classification guides or other source documents. (Provide information on all classifications the media, including those documented and disseminated via email. Do not count reproductions of the country o	ation decisions	fied. This regardless of
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,570
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	1,240
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	81
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	2,891
PART E: Mandatory Declassification Review Requests  A "Request" is an individual initial review request, regardless of the number of documents or pages to be review  Report only requests for your agency in which your agency is responsible for the final de	ed as part of the	request
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	
d. Total number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
PART F: Mandatory Declassification Review Appeals  An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewe  Report only appeals for your agency in which your agency is responsible for the final dec	l as part of the i	request
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	30.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	0
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

#### Department of Transportation

PART G: Automatic, Systematic, and Discretionary Declassification Reviews	of Months of the	
35. Enter the number of pages REVIEWED that were subject to automatic declassification under section 3.3 of E.O. 13526.	35.	(
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	(
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	O
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	0
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	0
PART H: Internal Agency Oversight		Salah da padaman da padam
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	0
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	0
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	0
PART I: Intelligence Community (IC) Information  This section applies only to IC agencies and IC components of other agencies who originally apply the ORCON a dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annu- use of classification markings.	al report to the	DNI on the
This section applies only to IC agencies and IC components of other agencies who originally apply the ORCON a dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual use of classification markings.  Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissem	al report to the	DNI on the
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This section applies only to IC agencies and IC components of other agencies who originally apply the ORCON a dissemination control. This information, along with ISCO's annual inspection reports will be used to inform the annuause of classification markings.  Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissenoriginally marked ORCON.  44. Enter PERCENTAGE of your organization's classified disseminated analytic products originally marked ORCON.	ninated Analyti	on the control on the
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#### Department of Transportation

PART J: Explanatory Comments					
	If more space is needed, provide as an attachment to this form. Provide explanations for				
DOT and FAA data are included in this report. The DOT data reflect an actual count, compiled from daily creation entries. FAA data were derived from an 8-week sample that was multiplied by 6.5. Derivative materials in this count include Daily Intelligence Summaries, Executive Intel Briefs, Intel Flyers, CITE Watch Notes, Security Briefs (Travel) and emails. Some variations were noted in the number of Top Secret, Secret and Confidential actions from FY 2015 to FY2016, resulting in a decrease of about 10% overall in the reported total this year. Investigation of these variations yielded no result, as there were no changes in procedure during this reporting period. We conclude the variations from one year to the next are the result of the 8-week sample period selected at FAA.					
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## U.S. Department of Transportation

Assistant Secretary for Administration

1200 New Jersey Avenue, SE Washington, DC 20590

Office of the Secretary of Transportation

Mr. Mark A. Bradley
Director, Information Security Oversight Office
National Archives and Records Administration
700 Pennsylvania Avenue, N.W., Room 100
Washington, DC 20408-0001

NOV 0 1 2017

Dear Mr. Bradley,

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you the FY 2017 Agency Classification Management Program Data. Enclosed is the completed Standard Form 311.

If you have any questions regarding this submission, please contact Keith Szakal, Acting Director, Office of Security, at (202)366-9422 or Keith. Szakal@dot.gov.

Sincerely

Keith Nelson

**Enclosure** 

	P	ART A: Identifying Information		
1. Enter the Fiscal Yea	r that this report covers.		1. 2017	
	2. Identify the Department, Independent agency, or Establishment that is covered by this report.  2. DOT: Department of Transportation			
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.  3. Keith Nelson, Assistant Secretary for Administration		1		
4. Point-of-contact res	ponsible for answering questions	about this report:		
4a. Name:	<sup>4a.</sup> Keith Szakal			
4b. Title:	le: 4b. Acting Director of Security			
4c. Email address:	ail address: 4c. Keith.Szakal@dot.gov			
4d. Phone number:	<sup>4d.</sup> (202) 366-9422			
	PART B: Of	ficials with Original Classification Authority		
5. Enter the number of		evel of original classification authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.			6.	8
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.			7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, and 7)			8.	8
also meets the followin the control of the Uni- disclosure could reasor	is an initial determination that the g conditions: (1) it was classified ted States Government; (3) it falls hably be expected to result in dam	C: Original Classification Decisions information to be classified has not been previously classified by an original classification authority; (2) the information is os into at least one of the categories from section 1.4 of E.O. 135 tage to the national security. (Provide information on all original cumented and disseminated via email. Do not count reproduction	wned by or for, or 26; and (4) unauth al classification de	is under norized
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.			9.	0
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.			10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)			11.	0
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.			12.	0
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.			13.	0
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)			14.	. 0
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.			15.	0
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.			. 0	
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)  17.			17.	0
18. Total number of or	iginal classification decisions. (S	Sum of blocks 11, 14, and 17)	18.	0

PART D: Derivative Classification Decisions  Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is includes classification based on classification guides or other source documents. (Provide information on all classification the media, including those documented and disseminated via email. Do not count reproductions or	tion decisions,	fied. This , regardless of
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,712
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	2,158
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.		193
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	4,063
PART E: Mandatory Declassification Review Requests  A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewe  Report only requests for your agency in which your agency is responsible for the final deci		request.
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	. 0
c. Denied declassification.	25c.	C
d. Total number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	C
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	.0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.		0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)		0
PART F: Mandatory Declassification Review Appeals  An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed  Report only appeals for your agency in which your agency is responsible for the final deci		request.
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.		O
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	. 0
c. Denied declassification.	31c.	C
d. Total number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	(
34. Enter the number of <b>REFERRED APPEALS</b> received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

#### DOT: Department of Transportation

25 Percent 1 of a MAXIMINATION of		
35. Enter the number of pages <b>REVIEWED</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.C 13526.	), 35.	(
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	(
37. Enter the number of pages <b>REVIEWED</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	37.	(
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	(
39. Enter the number of pages <b>REVIEWED</b> that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	(
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	(
PART H: Internal Agency Oversight		
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	0
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	C
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	. 0
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#### DOT: Department of Transportation

#### PART J: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

The totals for lines 19, 20, 21, and 22 include a combination of actual derivative decisions and estimated derivative decisions. The Federal Aviation Administration (FAA) used an 8-week time frame to conduct a sampling and multiplied by 6.5. The rest of the

counted decisions made by the Department of Transportation (DOT) represent actual counts of derivative decisions. FAA made an estimated 1,637 TOP SECRET derivative decisions, an estimated 2,099 SECRET derivative decisions, and an estimated 193 CONFIDENTIAL derivative decisions. The remainder of DOT made a combined 75 TOP SECRET derivative decisions, 59 SECRET derivative decisions, and 0 CONFIDENTIAL derivative decisions. Documents used to account for the above totals include Daily Intelligence Summaries, Executive Intelligence Briefs, Intelligence Fliers, CITE Watch Notes, Travel Security Briefings, and emails.								
There was an approximate 41% increase in derivative decisions made in FY17 compared to FY16. The increase is based on an increase in intelligence analyst staff and an increase in the number of security briefings created for aviation partners.								
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